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ATTY DOCKET NO. 056732.00004

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: Canner et al.

U.S. Serial No.: 09/975,689

Filed: October 11, 2001

For: **METHOD AND SYSTEM FOR COMPARISON AND EVALUATION OF  
INVESTMENT PORTFOLIOS**

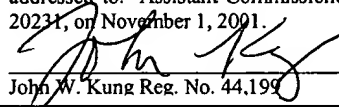
Examiner: To be assigned

Assistant Commissioner for Patents  
Washington, D.C. 20231

Group Art Unit: To be assigned

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on November 1, 2001.

  
John W. Kung Reg. No. 44,199

**INFORMATION DISCLOSURE STATEMENT**

Sir:

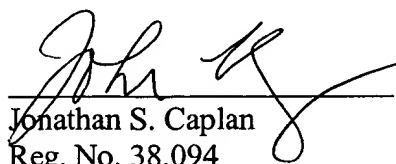
Applicants respectfully submit this Information Disclosure Statement pursuant to 37 C.F.R. §§ 1.97 and 1.98 in order to comply with the duty of disclosure under 37 C.F.R. § 1.56. These references are listed on the attached modified PTO Form No. 1449. It is respectfully requested that the information be expressly considered during the prosecution of this application and that the references be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

A copy of each of the listed references is enclosed for the convenience of the Examiner.

No fee is believed necessary for entry and consideration of this Information Disclosure Statement. However, the Commissioner is hereby authorized to charge any fee required or credit any overpayment in such fees to Deposit Account No. 50-0540.

Respectfully submitted,

Date: November 1, 2001

  
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